



Process For Electronic Filing Of Utility Tariffs (e-filings) with the Washington Utilities and Transportation Commission

Note: This document provides guidelines for companies electronically filing Utility tariffs. If the filing company has questions regarding the e-filing process, those questions should be referred to one of the Commission staff members listed below and resolved before the filing is submitted.

Cathie Anderson, Consultant	Phone: (360) 664-1293	e-mail: canderso@wutc.wa.gov
Cathy Kern, Tariff Section	Phone: (360) 664-1298	e-mail: ckern@wutc.wa.gov
Rachel Porter, Tariff Section	Phone: (360) 664-1166	e-mail: rporter@wutc.wa.gov

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SECTION 1 -- GENERAL:

1. Commission rules define parameters for Utility Company tariff filings. Refer to WAC Chapter 480-80 for specific requirements.
2. Utility companies electronically filing tariffs (e-filing) must comply with Commission rules regarding, but not limited to, the following:
 - **Format** – examples: page and font size, margins, headers and footers, and page numbers.
 - **Content** – examples: specific required language, items, and service options.
 - **Transmittal (cover) letters** – including specific issues that must be addressed in such letters.
 - **Notice** – including minimum length of the notice period to the Commission and to the public.
 - **Filing deadlines** – including dates and times by which filings must be received at the Commission. The Commission computes time as follows:

WAC 480-07-130(1) Computation of time. *"Day" means calendar day whenever used in this chapter, unless otherwise specified. The period of time for doing an act governed by this chapter is determined by excluding the first day and including the last day, unless the last day is an official state holiday, Saturday, or Sunday, in which event the period runs until the end of the next day that is not an official state holiday, Saturday, or Sunday.*

SECTION 2 -- RECEIPT BY COMMISSION:

1. An e-filing is considered received by the Commission only when the entire electronically transmitted document successfully reaches the Commission's Records Center electronic mailbox. Companies submitting e-filings are encouraged to use electronic return receipts.

2. E-filings received after 5:00 pm on weekdays, or at any time on weekends and holidays, are not considered officially received or filed until the next business day. The Commission defines "business day" as follows:

WAC 480-07-120 "Business day" *means any day when the Commission's offices are open to the public. Commission offices are open to the public between the hours of 8:00 a.m. and 5:00 p.m., Monday through Friday, except on official state holidays.*

SECTION 3 -- FILINGS – COMPANY INSTRUCTIONS:

1. Companies must submit all e-filings to the following e-mail address:
records@wutc.wa.gov
2. E-mails may only address the filing for a single company or a single tariff. Companies wishing to amend more than one tariff must submit individual e-filings, via individual e-mails, for each tariff.
3. The e-mail's subject line must contain sufficient information for staff to determine what the company is transmitting to the Commission. Sample subject lines:
 - XYZ Company's tariff filing
 - XYZ Company's LSN proposal to amend tariff
 - XYZ Company's compliance filing in Docket No. XXX
4. All documents, including the company's transmittal letter, tariff sheets, justification documents, and work papers must be attached to the e-mail, preferably as Word and/or Excel documents.
5. All e-mail attachments must have descriptive filenames. Examples:
 - Transmittal (cover) letter
 - Tariff sheet(s)
 - Sample customer notice
 - Work papers

6. Any confidential documents must be clearly indicated. This may be accomplished by using either, or both, of the methods described below:
 - a. Indicating in the document filename that it is confidential. Example: "Confidential customer count.doc" or "Customer count – Confidential.doc"
 - b. Indicating in the cover e-mail which documents are confidential. (See sample)
7. The Commission requires that companies submitting documents containing confidential information must also submit redacted versions of those documents. (See sample)

Text of company's e-mail would appear here.

The following attached documents are not confidential:

(The attachments would appear here.)

The following attached documents are to be considered confidential:

(The confidential attachments would appear here.)

The following attached documents are redacted versions of those identified above as confidential:

(The redacted versions would be attached here.)

SECTION 4 -- PERSONS AUTHORIZED TO SUBMIT ELECTRONIC TARIFF AND/OR TIME SCHEDULE FILINGS ON BEHALF OF REGULATED COMPANIES

1. Before e-filings will be accepted, a company must pre-register by submitting to the Commission a written list of company representatives authorized to submit e-filings on the company's behalf.
2. It is recommended that at least two persons be authorized, allowing for a backup in case one person is unavailable. The number of authorized representatives will be limited to no more than four individuals.

3. It is the company's responsibility to keep the Commission advised of any changes to the list of authorized filing representatives.
4. The original authorization letter, and any amendments, must be submitted to the Commission via e-mail to the following address:

records@wutc.wa.gov

5. The authorization letter must contain the following information for the company and for each authorized filing representative:
 - name
 - mailing address
 - telephone number
 - fax number
 - e-mail address
6. After receipt of a company authorization letter, RC staff will record pertinent information in the company database. Staff will use this recorded information to verify future filings.

SECTION 5 -- COMMISSION RECORDS CENTER (RC) PROCESS:

1. When a tariff e-filing is received, Records Center (RC) staff will check the list of persons pre-registered by the company to file on their behalf.
2. If the filer is not on the authorized filer list, RC staff will return the filing to the filer with an explanatory e-mail.
3. If the filer is authorized to file on the company's behalf, RC staff will:
 - a. Assign a docket number.
 - b. Use the PDF stamping tool to place the docket number and received date on all sheets of the filing.
 - c. Assign an agenda date.
 - d. Input pertinent information to the Commission's Records Management System (RMS).

- e. Electronically reply to the person submitting the filing, advising the filer of the following:
 - The filing has been received and posted to RMS.
 - The assigned docket number.
 - The assigned agenda date.
 - The name of Commission Staff assigned to review the filing.
 - The tentative location on the agenda.
 - The filing summary that will appear on the agenda.
- f. Electronically distribute the filing to appropriate Commission staff.

SECTION 6 -- SUBSTITUTE (REPLACEMENT) SHEETS:

1. Companies must file substitute sheets through the Records Center (RC).
2. Substitute sheets are subject to all applicable industry-specific rules and policies.
3. Upon receipt, RC will:
 - a. Acknowledge receipt of the substitute sheet(s) to the filer, via e-mail.
 - b. Stamp the docket number and receipt date on the substitute sheet(s).
 - c. Post substitute sheet(s) to RMS.
 - d. Electronically distribute substitute sheet(s) to staff.
4. Tariff Section Staff (TS) will ensure that substitute page(s) is(are) acceptable and that they (are) properly inserted into the "pending" file for the docket.

SECTION 7 -- WITHDRAWN FILINGS, Commission process:

1. When a company withdraws a filing before formal action is taken, RC will:
 - a. Ensure the withdrawal letter is posted to the RMS docket sheet.
 - b. Close the docket.
 - c. Electronically distribute withdrawal request to appropriate staff.
2. TS will electronically stamp "withdrawn" on the e-filing page(s) and send an e-mail with an attachment to the company.

SECTION 8 – TARIFF SECTION PROCESS

1. Upon receipt of link from RC, TS will post the filing in the company's "pending" folder on the "I: drive."
2. Following the open meeting, TS will further process the tariff filing by:
 - a. Applying appropriate electronic stamps to sheet(s). Examples:
 - "Cancelled by xxth Revised Page xx in Docket xx-xxxxxx, Date xxxxx"
 - "Effective date xxxxx"
 - b. Inserting new sheet(s) into the current electronically-stored tariff, or in the case of a whole new tariff, will post that new document to the "I:drive."
 - c. Transferring cancelled sheet(s) or cancelled tariff to "Current cancelled" or "Dead cancelled" folders, as appropriate.
 - d. Sending stamped sheet(s), and notification to the filing company via e-mail.

**SAMPLE E-MAILS COMPANIES WILL RECEIVE
AS PART OF THE E-FILING PROCESS:**

Return E-mail

The Commission received your electronic (type of filing – tariff or time schedule) filing on behalf of (name of company) on (date). Unfortunately, we are unable to process your filing at this time.

For security reasons, companies regulated by the Commission are required to pre-register in writing, via mail, e-mail, or fax, a list of no more than four individuals authorized to submit electronic filings for the company. You are not currently on the list provided by your company. Therefore, I am returning the attached filing to you directly.

If you have questions, please reply to this e-mail.

Thank you, Name of RC Staff
processing return, Records Management

Acknowledgement of filing receipt:

The Commission received your electronic tariffs and/or time schedules filing on behalf of (name of company) on (date). The filing has been posted to the Commission's Records Management System (RMS).

The Docket Number for this filing is: (Docket Number)

The Advice Number for this filing is: (Advice Number)

The Agenda Date for this filing is: (Agenda Date)

Subject to change, the filing is scheduled to appear on the : (Location on Open Meeting Agenda)

The filing is currently assigned to: (Staff name)

The current filing summary is: (Summary that will appear on the Open Meeting Agenda is reprinted here)

If you have questions, please reply to this e-mail.

Thank you, Name of RC Staff processing filing,
Records Management Section

Acknowledgement of substitute (replacement) Sheets:

(A) replacement page(s) in Docket (Docket Number) on behalf of (name of company) on (date). The filing has been posted to the Commission's Records Management System (RMS).

☒ ←-----Click on this icon to link to RMS for additional information on your filing.

If you have questions, please reply to this e-mail

Thank you, Name of RC Staff processing filing, Records Management Section

Acknowledgement of withdrawn filing:

The following attachment consists of the filing in Docket No. _____, which you advised the Commission on (date) that you wished to withdraw.

(Icon for attachment here)

If you have questions, please reply to this e-mail.

Thank you,

Name of Staff processing filing
Section name

Notification after open meeting:

The following attachment consists of the tariffs and/or time schedules sheet(s) in Docket Number _____, on behalf of (name of company). This filing was allowed to become effective on (date), per the (location on agenda) agenda of (date of open meeting).

(Icon for attachment here)

Please insert the revisions into your current tariffs and/or time schedules and/or remove any canceled sheets as necessary.

If you have any questions, please reply to this e-mail.